



## UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Applicant: Amnon Yariv

Serial No: Not assigned

Filed: December 7, 2000

For: **Optical Routing/Switching based on  
Control of Waveguide-Ring Resonator  
Coupling**

EJ134832822US

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TECHNOLOGY CENTER 2000

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing is the patent application identified above.

- ☒ 11 sheets of drawings (☐ formal ☒ informal) are enclosed.
- ☒ 36 pages of specification and 1 page of abstract of the invention are enclosed.
- ☒ An assignment of the invention to CALIFORNIA INSTITUTE OF TECHNOLOGY will follow.
- ☐ An associate power of attorney ☐ is enclosed ☐ will follow.
- ☒ An unexecuted verified statement to establish small entity status under 37 C.F.R. §§ 1.9 & 1.27 is enclosed.
- ☒ An unexecuted Declaration and Power of Attorney will follow.
- ☒ This is a Continuation of co-pending U.S. Patent Application Serial No. 09/454719 filed on December 7, 1999 and PCT Application No. PCT/US 99/28891 filed on December 7, 1999.
- ☒ Priority is claimed on U.S. Provisional Patent Application Serial No. 60/170074 filed on December 9, 1999.

CALCULATION OF FEES								
ITEM		TOTAL NO. OF CLAIMS		NO. OF CLAIMS OVER BASE	LG/SM \$ ENTITY FEE		\$ AMOUNT	\$ FEE
A	TOTAL CLAIMS FEE	137	-20	117	LG=\$18 SM=\$9	1,053.00	1,053.00	N/A
B	INDEPENDENT CLAIMS FEE*	10	-3	7	LG=\$78 SM=\$39	273.00	273.00	N/A
C	SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A+B)							\$1,326.
D	MULTIPLE-DEPENDENT CLAIMS FEE					LARGE ENTITY FEE=\$260 SMALL ENTITY FEE=\$130		
E	BASIC FEE					LARGE ENTITY FEE=\$760 SMALL ENTITY FEE=\$380		\$380.
F	TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E)							\$1,706.
	*LIST INDEPENDENT CLAIMS [LIST OF INDEPENDENT CLAIMS]							N/A

- ☒ A check in the amount of \$1,706.00 over the filing fee is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover Assignment Recordation fee is enclosed with the Recordation Cover Sheet

☒ The Commissioner is hereby authorized to charge any deficiency for the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1367. A copy of this sheet is enclosed.

☒ Any additional filing fees required under 37 C.F.R. § 1.16

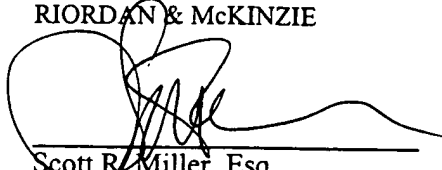
☒ Any patent application processing fees under 37 C.F.R. § 1.17

Respectfully submitted,

RIORDAN & McKINZIE

Date: December 7, 2000

By:

  
Scott R. Miller, Esq.  
Registration No. 32,278  
Attorney for Applicants

RIORDAN & McKINZIE  
300 South Grand Avenue, 29th Floor  
Los Angeles, California 90071  
Telephone: 213-629-4824  
Facsimile: 213-229-8550

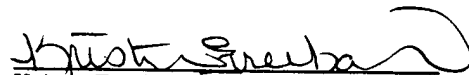


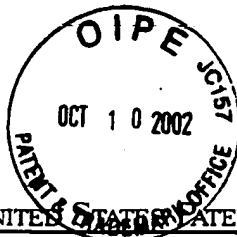
26719

PATENT TRADEMARK OFFICE

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Services on this date **December 7, 2000** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **EJ134832822US** addressed to the "Commissioner of Patents and Trademarks, Box New Patent Applications, Washington, D.C. 20231".

  
Kristin Freebairn



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/733,357	12/07/2000	2874	1706	6/023	11	137	10

CONFIRMATION NO. 2287

26719  
RIORDAN & MCKINZIE  
300 SOUTH GRAND AVENUE  
29TH FLOOR  
LOS ANGELES, CA 90071

## FILING RECEIPT



\*OC000000005700972\*

Date Mailed: 01/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Amnon Yariv, San Marino, CA;

## Assignment For Published Patent Application

CALIFORNIA INSTITUTE OF TECHNOLOGY,;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CON OF 09/454,719 12/07/1999  
AND A CON OF PCT/US99/28891 12/07/1999  
AND CLAIMS BENEFIT OF 60/170,074 12/09/1999

## Foreign Applications

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

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Optical routing/switching based on control of waveguide-ring resonator coupling6/023

**Preliminary Class**

385

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**Data entry by : ALHAIDARI, KHAIRIA**

**Team : OIPE**

**Date: 01/24/2001**

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Washington, DC 20231

Return to: Kristin Freebairn

Client No. 1-317-001

Docket No. 6/023

**THE U.S. PATENT AND TRADEMARK OFFICE MAIL ROOM HEREBY  
ACKNOWLEDGES RECEIPT OF THE FOLLOWING DOCUMENTS:**

Receipt is hereby acknowledged of the following: Transmittal letter for Non-Provisional Patent Application w/Certificate of Mailing; specification, claims, abstract and formal drawing sheets); unexecuted Declaration and Power of Attorney; unexecuted Small Entity Status; Claim of Priority; check for \$1,706.00; and this post card

In Reference of: Inventor: Amnon Yariv for the invention entitled "Optical Routing/Switching based on Control of Waveguide-Ring Resonator Coupling" to be assigned to California Institute of Technology

Express Mail Label No. EJ134832822US

Mailing Date: December 7, 2000

Vendor 3462 CHECK# 93844

1,706.00

**RIORDAN & McKINZIE**

LAW OFFICES  
A Professional Corporation  
CALIFORNIA PLAZA  
300 S. GRAND AVENUE, 29th Floor  
LOS ANGELES, CA 90071

**Citibank, F.S.B.**

333 S. GRAND AVENUE  
LOS ANGELES, CALIFORNIA 90071

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Priority Patent Application Fee

6/023  
1-317-001

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